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	Application Number		10064745
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Filing Date		2002-08-12
	First Named Inventor BIRLE, JAMES		E, JAMES
	Art Unit		3628
	Examiner Name	SOU	GH, HYUNG SUB
	Attorney Docket Numb	er	MLCO.P-002

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MA.	1	20050080706		2005-0	4-14	BIRLE				
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ZA	1	WO 03/014885	1B			2003-02-20	BIRLE			
7/	2	WO 2004/081748	IB			2004-09-23	WILLIAMS			
124	3	WO 01/80051	IB			2001-10-25	KUBIC			

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Attorney Docket Number		MLCO.P-002		

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		5	WO 02/42885	IB		2002-05-30	ANDRUS				
		6	WO 03/013875	IB		2003-02-20	BIRLE				
		7	WO 03/014886	IB		2003-02-20	GREEN				
		8	WO 2004/104889	IB		2004-12-02	ABERMAN				
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	Application Number	10064745	
	Filing Date		
INFORMATION DISCLOSURE	First Named Inventor		
STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Art Unit		
(Not for submission under 57 Of K 1.55)	Examiner Name		
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1 Merrill Lynch Prospectus, Januar	y 24, 2001		
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> Title of Invention

Convertible financial instruments with contingent payments

Application Number:

10/064745

Confirmation Number:

6610

First Named Applicant:

James Birle

Attorney Docket Number: MLCO.P-002

Search string:

(20040006520).pn.

US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20040006520	2004-01-08	Birle, et al.			

Signature

Examiner Name

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Application Number:

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6610

First Named Applicant:

James Birle

Attorney Docket Number: MLCO.P-002

Search string:

(6321212 or 20020099640 or 20020147670 or

20030009406 or 20030115128 or

20030163400).pn.

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init	A	Patent No.	Date	Patentee	Kind	Class	Subclass
	LL 1 1	6321212	2001-11-20	Lange, Jeffrey			

US Published Applications

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in	it	Cite.No.	Pub. No.	Date Applicant		Kind	Class	Subclass
12	\mathbb{Z}	1	20020099640	2002-07-25	Lange, Jeffrey			
4		2	20020147670	2002-10-10	Lange, Jeffrey			
		3	20030009406	2003-01-09	Ross, Ivan			
		4	20030115128	2003-06-19	Lange, et al.			
		5	20030163400	2003-08-28	Ross, et al.			

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> Title of Invention

CONVERTIBLE FINANCIAL INSTRUMENTS WITH CONTINGENT PAYMENTS

Application Number:

10/064745

Confirmation Number:

6610

First Named Applicant:

JAMES BIRLE

Attorney Docket Number: MLCO.P-002

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(6347307 or 5742775 or 20020077961).pn GROUP 3600

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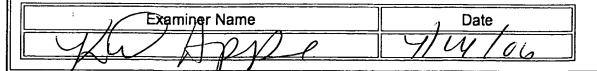
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init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
1	1	6347307	2002-02-12	SANDHU ET AL			
E	- 2	5742775	1998-04-21	KING, DOUGLAS L.]		

US Published Applications

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init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
1	1	20020077961	2002-06-20	ECKERT ET AL			•





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> Title of Invention

CONVERTIBLE FINANCIAL INSTRUMENTS WITH **CONTINGENT PAYMENTS**

Application Number:

10/064745

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First Named Applicant:

James Birle

Attorney Docket Number: MLCO.P-002

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(20030093375).pn.

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init Cite.No	. Pub. No.	Date	Applicant	Kind	Class	Subclass
LA 1	20030093375	2003-05-15	Green, et al.			

Examiner Name		Date /	
July Appl	19	14/00	



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CONVERTIBLE FINANCIAL INSTRUMENTS WITH **CONTINGENT PAYMENTS**

Application Number:

10/064745

Confirmation Number:

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First Named Applicant:

James Birle

Attorney Docket Number: MLCO.P-002

Search string:

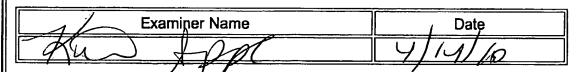
(20030135446).pn.

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init		Pub. No.	Date	Applicant	Kind	Class	Subclass
Z A	1	20030135446	2003-07-17	Birle, Jr., et al.			





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Title of Invention

CONVERTIBLE FINANCIAL INSTRUMENTS WITH CONTINGENT PAYMENTS

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First Named Applicant:

James Birle

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ini	t _y Ci	te.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
		1	20030135436	2003-07-17	Birle, Jr., et al.			

/ Examiner Name	Date /
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Title of Invention

Convertible Financial Instruments with Contingent Payments

Application Number:

10/064745

Confirmation Number:

6610

First Named Applicant:

James Birle

Attorney Docket Number: MLCO.P-002

Search string:

(5742775 or 20020032627).pn.

US Patent Documents

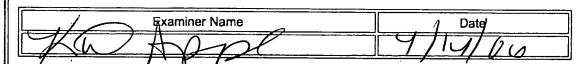
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init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
47	. 1	5742775	1998-04-21	King, Douglas L.			

US Published Applications

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ir	ij,	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
12	A	1	20020032627	2002-03-14	Perot, et al.			





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Title of Invention

Convertible Financial Instruments with Contingent Payments

Application Number:

10/064745

Confirmation Number:

6610

First Named Applicant: James Birle

Attorney Docket Number: MLCO.P-002

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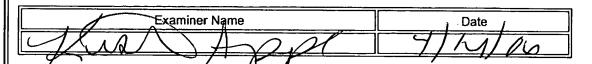
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	pit,	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
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Application No.: 10/064,745 Filing Date: August 12, 2002 Confirmation No.: 6610

Group Art Unit: 3624

Attorney Docket No.: MLCO.P002

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	LJH Global Investments HedgeView, Perspectives on Absolute Return Strategies, September 2001, Pg. 2 Col. 3
	"Medtronic Announces Sale of 1.25 percent Contingent Convertible Debentures Due 2021"; Medtronic New Release, <u>www.medtronic.com</u> : July 28, 2002

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:	Offering Memorandum, Tyco, Liquid Yield Option Notes, November 14,2000
	Offering Memorandum, SPX Corporation, Liquid Yield Option Notes, January 31, 2001
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	WO 03/013875 Published February 20, 2003
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W	WO 03/023554 Published March 20, 2003

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CONVERTIBLE FINANCIAL INSTRUMENTS WITH CONTINGENT PAYMENTS

Application:

10/064745

Confirmation:

6610

Applicant(s):

James Birle

Docket

MLCO.P002

Number:

WIECO.1 002

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Group Art Unit: 3624

Examiner:

search string:

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	P02	5440106	1995-08-08		Duck, Thomas S.		
	P03	5970479	1999-10-19	1014160010010010010010010111	Shepherd, lan K.		
	P04	6012925	2000-01-11	1910110011001100110110101101101101101101	Kelly, et al.		
W	P05	6105007	2000-08-15	INTERNATION CONTRACTOR	Norris, Jeffrey		

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4	P06	6321212	2001-11-20	Lange, Jeffrey
1	 P07	6418419	2002-07-09	Nieboer, et al.

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init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
A)	UO1	20010056392	2001-12- 27		Daughtery, Vergil L. III		
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Examiner Name	Date			
Ja Ap	4/14/06			